Issuance Date:	June 13, 2013
Questions Due Date and Time:	June 21, 2013 - 1600 hrs Pretoria Time
Concept Paper Closing Date and Time:	July 11, 2013 – 1600 hrs Pretoria Time
Full Application Closing Date and Time:	28 days after Full Application Request Date (Targeting August 26, 2013)

SUBJECT: REQUEST FOR APPLICATIONS (RFA) NUMBER RFA-674-13-000005 CAPACITY DEVELOPMENT SUPPORT (CDS)

Ladies and Gentlemen:

The United States Agency for International Development (USAID)/Southern Africa, is seeking applications from US and non-US organizations for a five-year Capacity Development Support (CDS) Program, as described in this Request for Applications (RFA).

The CDS Program will contribute significantly to supporting the goals of PEPFAR and those of the South African Government's (SAG) National Strategic Plan (NSP) especially with the transition to country ownership. The unique characteristics of this program will be to promote sustainability of local organizations and provide grant management support to develop local capacity. The program is made up of three components − Grant Award and Management; Institutional capacity-development of indigenous organizations; and Capacity development assistance to the SAG.

It is USAID policy not to award profit under assistance instruments; however, all reasonable, allocable, and allowable expenses, both direct and indirect, which are related to the grant program and are in accordance with applicable cost standards (OMB Circular A-122 for non-profit organizations, OMB Circular A-21 for universities, and the Federal Acquisition Regulation (FAR) Part 31 for-profit organizations) may be paid under the Agreement. This RFA is being issued and consists of this cover letter and the following:

1.   Section I, Funding Opportunity Description;
2.   Section II, Award Information;
3.   Section III, Eligibility Information;
4.   Section IV, Application and Submission Information;
5.   Section V, Application Review Information;
6.   Section VI, Award and Administration Information;
7.   Section VII, Agency Contacts;
8.   Section VIII, Other Information; and
9.   Attachments and Documents.

Subject to the availability of funds, USAID intends to provide approximately $200-220 million to be allocated over the 5-year period. USAID anticipates awarding one cooperative agreement as a result of this solicitation. Award will be made to the responsible applicant who submits the best application under the evaluation factors outlined in this RFA. USAID reserves the right to fund any or none of the applications submitted.

This procurement involves a two-step process. As step one, USAID requires interested organizations to submit concept papers, according to the RFA instructions. As step two, USAID will request submission of full applications if the concept paper merits further consideration.

Questions concerning this RFA must be submitted in writing **via email** to Beatrice Lumande at applications4@usaid.gov (include RFA number in email subject line) on or before the deadline for receipt of questions stated on the cover letter of this RFA.

If it is determined that the answers to any question(s) are of sufficient importance to warrant notification to all prospective recipients, a Questions and Answers document, and/or an amendment to the RFA, will be issued.

Issuance of this RFA does not constitute an award commitment on the part of the U.S. Government, nor does it commit the U.S. Government to pay for costs incurred in the preparation and submission of an application. In addition, final award of any resultant agreement cannot be made until funds have been fully appropriated, allocated, and committed through internal USAID procedures. While it is anticipated that these procedures will be successfully completed, potential applicants are hereby notified of these requirements and conditions for award. Applications are submitted at the risk of the applicant; should circumstances prevent award of a cooperative agreement, all preparation and submission costs are at the applicant's expense.

Sincerely,

/S/

Dana H. Rose
Agreement Officer

TABLE OF CONTENTS

SECTION I - FUNDING OPPORTUNITY DESCRIPTION

A. GENERAL DESCRIPTION OF FUNDING OPPORUNITY

1. Background

a) PEPFAR Context

In the first five years of the global PEPFAR program, interventions focused on establishing and scaling up prevention, care, and treatment programs. The programs achieved success in expanding access to HIV prevention, care, and treatment in low-resource settings. During its first phase, PEPFAR supported treatment to more than 2.4 million people, care to nearly 11 million people including 3.6 million OVC, and prevention of mother-to-child treatment (PMTCT) activities for nearly 16 million pregnancies.

The global epidemic continues to require a comprehensive, multi-sectoral approach that expands access to prevention, care, and treatment. In December 2009, PEPFAR released its second Five-Year Strategy, which builds upon its success as programs transition from an emergency response to promoting sustainable country programs. For more information about PEPFAR's Five-Year Strategy, please visit http://pepfar.gov/strategy/.

On May 5, 2009, President Barack Obama and Secretary of State Hillary Rodham Clinton announced the U.S. government's Global Health Initiative (GHI); see press release at: http://www.whitehouse.gov/the_press_office/Statement-by-the-President-on-Global-Health-Initiative/. PEPFAR is the cornerstone of GHI. GHI is designed to connect and build upon the impressive results and momentum of PEPFAR and other USG health programs. It is leveraging the full range of USG assets in supporting a long-term strategic approach to global health that enables partner countries to improve health in communities impacted by HIV and other diseases. As part of GHI, PEPFAR is supporting countries to provide more efficient, integrated and sustainable health programs and serves as the platform upon which to link and integrate systems of care. For more information about the GHI, please visit http://ghi.gov.

On December 14, 2010 Secretary of State Hillary Rodham Clinton and South Africa's Department of International Relations and Cooperation Minister Maite Nkoana Mashabane signed a Partnership Framework that will guide future efforts to combat HIV/AIDS in South Africa. The Partnership Framework provides a five-year (2012/13-2016/17) joint strategic plan of cooperation between the SAG, the USG and other stakeholders. The Framework supports the goals of South Africa's national strategy to fight HIV/AIDS, and emphasizes sustainability, local expertise, coordination and accountability in the fight against AIDS. See the Partnership Framework at: http://www.pepfar.gov/documents/organization/153124.pdf

PEPFAR provides support to countries to combat the effects of HIV and AIDS. In its second phase, PEPFAR is working to enhance the ability of governments to manage their epidemics, respond to broader health needs impacting affected communities, and address new and emerging health concerns. Capacity development is key to successful efforts to combat the AIDS epidemic. Capacity development (capacity development) is defined as, "the ability of individuals and organizations or organizational units to perform functions effectively, efficiently and sustainably". The USG investment in capacity development through PEPFAR, within the context of national HIV/AIDS plans, seeks to assist host governments' efforts to know their epidemics and respond strategically to prevent infections, care for and treat infected and affected

populations (such as Orphan and Vulnerable Children), mitigate the social and economic consequences. Effective capacity development efforts target government, local research and development institutions, nongovernmental organizations, networks, communities, academia and the private sector, with a goal toward enhancing the short and long term potential for these institutions to support the local response and for host governments to lead, manage and monitor internal and external efforts to address HIV/AIDS in-country.

PEPFAR is working to enhance the ability of governments to manage their epidemics, respond to broader health needs impacting affected communities, and address new and emerging health concerns. Capacity development of SAG and local partners is key to successful efforts to combat the AIDS epidemic. The U.S. Government (USG) investment in capacity development through PEPFAR within the context of national HIV/AIDS plans seeks to assist host governments' efforts to know their epidemics and respond strategically to prevent infections; care for and treat infected and affected populations; and mitigate the social and economic consequences.

PEPFAR recognizes that for programs to be sustained and quality retained, country leadership and local implementing partners must have technical and management capabilities to oversee programs and make adjustments and shifts over time. PEPFAR emphasizes the incorporation of health and social system strengthening goals into its prevention, care and treatment portfolios. This integration will help to reduce the burden of HIV/AIDS on the overall health and social system. Activities to achieve this goal may include the following:

- Training and retention of health and social services workers, managers, administrators, and other civil service employees critical to all functions of fully operational health and social systems;

- Implementing a new health and social system framework to assist in targeting and leveraging PEPFAR activities in support of a stronger health and social system in South Africa;

- Supporting efforts to identify and implement harmonized health and social system measurement tools; and

- Coordinating USG activities across multilateral partners to leverage and enhance broader health and social system strengthening activities.

b) Country Context

South Africa has a population of approximately 51.7 million and 5.4 million HIV positive people due to a generalized epidemic that accounts for 16.6% of the global burden of HIV. AIDS and its related diseases contribute significantly to maternal mortality (50%) and mortality of children under five years of age (35%). The HIV epidemic in South Africa is characterized by significant geographic and population heterogeneity. HIV prevalence among the adult population (15-49 years) is estimated to be 16.6%, with an estimated HIV incidence of 1.4% in 2011. South Africa has the largest number of people living with HIV (PLHIV) in the world, approximately 5.4 million South Africans in 2011. As a result of the continued high incidence and disease burden, there is an urgent need to scale up a targeted HIV prevention response in areas of high HIV and/or SGBV prevalence or incidence in South Africa. Nearly one third of South Africa's population is younger than 15 years. Approximately 22 % of the country's 18 million children are affected by HIV/AIDS. More than 2.01 million children have been orphaned by AIDS (Mid-

Year Population Estimates, Statistics South Africa). The 2010 General Household Survey suggests that the overall number of orphans could be as high as 3.7 million (General Household Survey, Statistics South Africa, 2010) while the UNICEF 2010 South Africa Annual Report indicates that a fifth of all children, or 3.9 million, have lost one or both parents.

On December 1, 2011, the South African National AIDS Council (SANAC) launched the National Strategic Plan for HIV, STIs, and TB (2012 – 2016) (NSP). The NSP is driven by South Africa's long-term (20 year) vision of "Zero new HIV and TB infections, Zero new infections due to vertical transmission, Zero preventable deaths associated with HIV and TB, and Zero discrimination associated with HIV, STIs, and TB." In line with this vision, the NSP has set the following broad goals:

- Reduce new HIV infections by at least 50%, using combination prevention approaches;
- Initiate at least 80% of eligible patients on antiretroviral treatment (ART), with 70% alive and on treatment five years after initiation;
- Reduce the number of new TB infections, as well as the number of TB deaths by 50%;
- Ensure an enabling and accessible legal framework that protects and promotes human rights in order to support implementation of the NSP; and
- Reduce the self-reported stigma and discrimination related to HIV and TB by 50% by 2016.

The NSP also identifies key strategic enablers that will determine the success of its implementation including governance and institutional arrangements, effective communication, monitoring and evaluation (M&E), and research.

To achieve these goals, the NSP has four Strategic Objectives that form the basis of the HIV, STI, and TB response:

1. Address social and structural barriers to HIV, STI, and TB prevention, care, and impact;
2. Prevent new HIV, STI, and TB infections;
3. Sustain health and wellness;
4. Increase the protection of human rights and improve access to justice.

The signed PF outlines PEPFAR's financial and capacity development assistance to build the leadership and implementation capacity of the South African Government and civil society. During phase II of PEPFAR, the PEPFAR South Africa program will continue to support SAG Departments' efforts to mitigate the impact of HIV and AIDS on both adults and children. capacity development assistance activities will be focused on strengthening the following areas that were agreed to by USG and SAG in the PFIP as being where PEPFAR's investments in South Africa should gradually transition towards:

1. System strengthening
2. HIV Prevention
3. Orphans and vulnerable children, and
4. Health services innovation.

In recent years, the USAID/SA team has worked to strengthen the HIV prevention and mitigation response in South Africa by using Umbrella Grants Mechanisms (UGMs) to provide funding to over 30 partners and over 100 sub-partners in South Africa, all of whom have played a valuable role in the fight against HIV and AIDS and the support of key populations such as Orphans and Vulnerable Children (OVC). These partners and sub-partners consisted of non-governmental

organizations (NGOs), faith-based organizations (FBOs), and community-based organizations CBOs. Umbrella Grants Management Partners (UGMPs) were provided funding support for institutional capacity development to implement PEPFAR funded programs and for assistance support to the National Department of Health (DOH) and the Department of Social Development (DSD). The UGMs identified capacity development needs of the implementing partners through conducting organizational assessments followed by specific capacity assistance activities to address areas for improvement and strengthening. Examples included training workshops, mentoring, skills development, one-one assistance, twinning with NGO with stronger skills set in different areas and development of capacity development tools. Some of the results achieved include stronger financial compliance, greater governing board engagement, strategic planning, improved M&E systems, increased partner networking and alternative funding was secured. Several sub-partners reached the point of being able to graduate to receive direct funding as prime partners. Local partner's capacity development continues to be a key focus for USAID in the second phase of PEPFAR. This program will contribute significantly to supporting the goals of PEPFAR, the PFIP and those of the SAG's NSP especially with the transition to country ownership over the next five years. The unique characteristics of this program will be to promote sustainability of local organizations and provide grant management support.

2. Program Purpose

The purpose of the CDS Program is to support the United States Government's President's Emergency Plan for AIDS Relief (PEPFAR) in South Africa. The program will be implemented in accordance with the South Africa and United States PEPFAR Partnership Framework (PF) mandate that emphasizes country ownership, capacity development (capacity development) support to improve South Africa Government's (SAG) capacity, and long term sustainability of programs that have received PEPFAR support. Support will also include local institutional capacity development and grant administration for indigenous organizations that implement PEPFAR programs.

The overarching goal of PEPFAR support in South Africa is mitigation of the impact of Human Immunodeficiency Virus (HIV), Sexually Transmitted Infections (STI), and Tuberculosis (TB). Over the next five years, the PEPFAR South Africa (SA) program will undergo changes as the U. S. Government (USG) partnership with the SAG moves to support a country owned national HIV and TB response as defined in the PF signed in December 2010 which will result in a Partnership Framework Implementation Plan (PFIP). This five year activity will have a gradual phase down over the five years and is not expected to continue beyond the five year period.

The CDS program will contribute significantly to supporting the goals of PEPFAR and those of the SAG's National Strategic Plan (NSP) especially with the transition to country ownership over the next five years. The unique characteristics of this program will be to promote sustainability of local organizations and provide grant management support to develop local capacity.

3. Program Objectives

- To support the provision of sustainable high-quality services in Human Immunodeficiency Virus (HIV) and Acquired Immune Deficiency Syndrome (AIDS) in South Africa through strategic approaches that address specific needs with practical and pragmatic business plans for implementation.

- To develop sustainable institutional capacity and increase the effectiveness of local partners to achieve expanded and high quality services.

- To strengthen the overall health and social services system; and

- To enhance local sub-partners' capacity in treatment, care (including support of orphans and vulnerable children), and prevention.

To achieve these objectives the CDS Program will focus on the following three key components:

Component 1: Grant Award and Management

Component 2: Institutional capacity-development of indigenous organizations

Component 3: Capacity development assistance to SAG

4. Program Description

The Capacity Development Support (CDS) Program embraces the goals and objectives of the USG/SAG PF, aligns with the PFIP and contributes to achieving the strategic objectives of the 2012-2016 NSP. SAG and USG PEPFAR recognize the importance of capacity development assistance in the transition to country ownership, and to the provision of sustainable high-quality services in HIV and AIDS in South Africa. In preparation for the transition to country ownership the PFIP includes a focus on health and social welfare system strengthening with an objective of providing capacity development assistance to strengthen SAG's capacity for planning, recruitment, retention and management of human resources for health and social welfare. A major focus of PEPFAR support in the PFIP is to keep long-term sustainability and health and social welfare systems strengthening as priorities that lead to increased efficiency in implementation of the national response. It is critical that both national and local partners are provided the skills through capacity strengthening assistance that are needed to take on more leadership, management and implementation of programs. The CDS program will provide leadership and assistance in support of the NSP's goals.

In August 2012 USAID/Southern Africa contracted with Social Impact to conduct an independent evaluation of all USAID UGM agreements (see link in Section "Attachments and Documents"). The evaluation found that having a UGM mechanism has been valuable. The provision of capacity development to sub-partners via UGMs was found to be a valuable adjunct to service delivery. In addition the mechanism provides a practical means to channel funding to a large number of local sub partners allowing the number of partners provided with PEPFAR funding to be increased while reducing the management burden on the Mission. Secondly, it provided capacity development, grant and financial management support that strengthened sub-partners capacity as organizations.   Recommendations from the evaluation report, along with lessons learned and best practices have been reviewed and used to inform this CDS Program and to improve the overall capacity development assistance inputs.

The UGM mechanism provides a cost effective alternative to providing grant management support to USAID and to provide quality and efficient capacity development support. It is recognized internally that the UGM mechanism provides the best prognosis for USAID/South Africa to maintain a cadre/pool of qualified consultants with the specialized expertise needed to meet the capacity development needs of partners. Typically, a relatively small percentage of overall funds

are used for administrative purposes allowing a reasonable percentage of overall funding to providing capacity development assistance support.

The main objective of the CDS Program moving forward will be to: (1) facilitate further scale-up of HIV and AIDS services through local implementing partners and (2) build indigenous organization capacity. This program will provide support in implementing activities in accordance with the PF and PFIP's focus on gradually transitioning from support of direct clinical care and treatment services toward support for health and social welfare system strengthening, in particular, development of the capacity of SAG departmental units and local partners to implement interventions of the National Strategic Plan (NSP) for HIV, STIs, and TB (2012–2016).

In line with USAID's new strategy titled "USAID Forward" increased emphasis will need to be placed on strengthening country capacity and local civil society by working closely with government and implementing partners on capacity development and support. In addition this activity will be a key pillar in USAID/South Africa's emphasis on local capacity development to promote capacity development as a sustainable development approach within USAID/Southern Africa in line with USAID Forward principles. As with USAID Forward it is an expectation of this program that there will be increased capacity of local systems enabling local organizations to take on more leadership and direct program implementation roles over time. The program will also allow for the management of grants to indigenous organizations that implement PEPFAR programs thereby enabling USAID to expand the number of local partners as well as their capacity. This activity will manage and mentor sub-partners, who in turn will implement interventions and activities that support the PFIP. USAID will continue close collaboration and coordination with the SAG in supporting PEPFAR partners through this program.

a) Focus Areas/Key Components

To achieve these objectives the CDS Program will focus on the following three key components:

Component 1: Grant Award and Management

Component 2: Institutional capacity-development of indigenous organizations

Component 3: Capacity development assistance to SAG

i. Grant Award and Management

The CDS Program will award and administer grants to partners selected through competitive Annual Program Statement (APS) process to implement HIV and AIDS prevention activities, treatment activities, and basic health care and support activities, including those supporting orphans and vulnerable children. The APS solicitations will be designed together with USAID. Grant management includes award administration; monitoring of grant progress; meeting reporting requirements; and grant closeout. Guidance, monitoring, mentoring and oversight will be provided through site visits, capacity development assistance, and performance evaluation. Extensive capacity development assistance may also be required on program development and implementation; financial management; and monitoring, evaluation, reporting and learning (consistent with Component ii below). All these functions provide capacity building key support to organizations so they better implement services delivery activities.

ii.   Institutional capacity-development of indigenous organizations

The CDS Program will support institutional capacity-development of indigenous organizations, a key PEPFAR strategy, thus promoting more sustainable programs and organizations. Capacity-development activities are defined as activities that strengthen the skills of indigenous organizations to implement programs efficiently, with diminishing reliance on external assistance and support. The CDS Program will support activities to improve: the financial management; organizational management; governance; program management; quality assurance and strategic information and reporting; and leadership and coordination of partner organizations implementing prevention activities. The CDS Program will provide support to prevention, care (including OVC), and treatment partners in monitoring, evaluation, reporting and learning (MERL) in order to strengthen measurement of the implementation and impact of program activities, and eventual achievement of PEPFAR goals. MERL support of prevention, care, and treatment partners include: measurement of program progress; provision of feedback for accountability and quality; surveillance; and implementation of information management systems. In order to achieve the maximum impact, the program's capacity development activities will be based on action plans developed through institutional assessments that are responsive to needs of the organization.

iii. Capacity Development Assistance to SAG

This CDS program will provide capacity development assistance support at all levels (national, provincial, district) and in all nine provinces of South Africa to strengthen the South Africa Government's (SAG) overall health and social services system. This component supports institutional capacity development to SAG, identified jointly with USAID, in implementing activities in the four program areas of the PFIP e.g. providing long and short term capacity development assistance to SAG.

b)   Illustrative Activities

- **Institutional Assessments** that systematically identify strengths and weaknesses that will be used to develop capacity development action plans with baselines and clearly defined outcomes with indicators for monitoring and evaluating success and impact.

- **Organizational capacity development** activities that improve the ability of government and local organizations to finance, plan, manage, implement and monitor programs, both in the immediate and longer term. This will be achieved through the strengthening of internal organizational structures, administrative systems and processes, quality assurance systems, program/program management, leadership, governance, resource mobilization and overall staff capacity. Specific examples include policy implementation; governance procedures; strategic planning; organizational management; human resource management; financial management systems; change management; organizational tools; program management; strategic collaborations and partnerships; and developing recruitment and retention strategies.

- **Strategic Information:** Strategic information is a cornerstone of PEPFAR programming. The CDS Program supports USAID's efforts to monitor and/or evaluate the PEPFAR, capacity-development around strategic information interventions and increasing skill sets of M&E staff of indigenous partners.

- **Monitoring, evaluation, reporting and learning (MERL)** activities that improve the ability to track inputs, activities, and outputs and to use data to assess the effectiveness, relevance and impact of achieving program goals and thereby providing the evidence and essential information for strategic planning, program improvement and accountability of funds and efforts. Specific examples include trainings on basic MERL concepts and principles; data quality management; internal data quality audits; data collection and analysis.

- **Sustainability capacity development** activities that increase the prognosis for continuation of interventions beyond PEPFAR funding, i.e., resource mobilization, grant and report writing, financial reporting, strategic planning, marketing, networking, advocacy, management of strategic partnerships, and public private partnerships.

- **Skills and knowledge transfer** methodologies for implementation of capacity development, i.e., mentoring, coaching, and training of trainers.

Please note that the above list of activities is not all inclusive and applicants are encouraged to propose additional activities that will contribute to achieving the expected results of the program.

c) Expected Outcomes

- Improved management of prevention, care and OVC activities;
- Strengthened local institutional capacity and increased effectiveness of local partners to achieve expanded and high quality services in the four PFIP focus areas of system strengthening, OVC, prevention and health services innovations;
- Increased and improved capacity of local sub-partners in managing treatment, care (including support of OVC) and prevention services; and
- Increased capacity of SAG to respond to HIV and AIDS through the innovative use of capacity development assistance support.

d) Monitoring and Evaluation (M&E)

The Recipient will be mandated to report on current indicators required by the Office of the Global AIDS Coordinator (OGAC), as applicable and as is customary with all implementers with activities funded by PEPFAR. Further, the Recipient is required to have a monitoring and evaluation plan showing:

- Outcomes will be measured;
- Outcomes will contribute to results;
- Baseline information will be collected;
- Baseline and end-line assessments
- Reports to provide activity managers with valid internal assessments of the recipient's activities and interventions.

The performance monitoring plan must address the issues set forth above and is due 60 days after award of the cooperative agreement contemplated by this RFA. It must be approved in writing by the Agreement Officer's Representative. Any modifications to the performance monitoring plan must be submitted in writing to the Agreement Officer's Representative and approved in

writing by the Agreement Officer's Representative. In order to facilitate the documentation of actual future improvements, baseline values of existing conditions need to be established. The recipient will work closely with USAID to develop an M&E plan that will include baseline surveys for future impact evaluations.

i.   Program Indicators

The new five-year PEPFAR Strategy places great emphasis on development of an evidence base through program evaluation. PEPFAR-supported programs must contribute to the advancement of global HIV research, and programs must expand and improve the tracking of program outcomes, quality aspects of the program, cost-effectiveness, innovation and impact in both the short- and long-terms.   USAID/ South Africa will evaluate progress by monitoring selected indicators and assessing them in relation to the targets and overall objectives set. A greater focus will be placed on developing baselines and related indicators to measure impact and outcomes of interventions and capacity development activities. In addition to the specific indicators listed below, the Recipient will be responsible for ensuring that their sub-partners report on indicators in the SASI manual as appropriate.

ii.   PEPFAR Indicators

Capacity development and system strengthening
Number of local organizations provided with capacity development assistance for HIV-related policy development
Number of local organizations provided with capacity development assistance for HIV-related institutional capacity development.
Percent of local organizations provided with capacity development assistance related to sustainability
Percent of sub-partners provided training related to sustainability
Percent of sub-partners provided capacity development assistance related to strengthening local institutional capacity
Percent of sub-partners provide training in organization development
Percent of organizations provided with institutional capacity development and capacity development assistance support.
Percent of organizations with accurate/quality data reporting indicators and targets

The CDS Program activities will be monitored and evaluated as part of the overall MERL for the PEPFAR program in order to measure impact and effectiveness. Funding under the CDS award must clearly state how proposed activities relate to the program objectives and expected outcomes and how data will be collected, verified and reported to document progress toward meeting the objectives, including a staffing plan. The Recipient must include plans to collect data on additional indicators to measure the effectiveness of a specific activity. Data quality is a critical component of this program, and the Recipient must have appropriate systems and capacity for effective data management. Recipients must report on the required indicators relevant to their program area, as laid out by the Office of the Global AIDS Coordinator. These indicators are listed in the table below and are further discussed in the *South Africa Strategic Information (SASI) Manual* (http://pepfar.pretoria.usembassy.gov/) (Go to "PEPFAR@Work"/"M&E").

In addition to the above indicators Recipients will track relevant indicators (quantitative and qualitative) to measure and evaluate the impact of capacity development activities on achieving

the objectives and intended results of the CDS Program. The Recipient will be required to establish baselines from assessments of the sub-recipients' strengths, weaknesses and capacity development needs. The aim is to allow USAID and the CDS Program to demonstrate the extent to which the capacity building and assistance (long and short-term) translate into desired outputs and outcomes.

iii. Illustrative Indicators:

- Number organizations with passing data quality audits
- Number of partners acquiring non-PEPFAR funding
- Number of Public Private Partnerships (PPPs) participated in by partners
- Percentage of sub-recipients in compliance with grant requirements
- Percentage of sub-recipients achieving organizational targets

Indicator data will be submitted to USAID via a web-based data warehouse.

5. Management Approach/Guiding Principles

a) To support the provision of sustainable high-quality services in South Africa, proposed strategic approaches must address specific needs with practical, pragmatic business plans for implementation.

Comprehensive Programming: Addressing or demonstrating linkages with multiple program objectives are encouraged such as building on an existing grant management program or capacity-development program. USAID intends for the Grant Award and Management component to maximize synergy with other USAID-funded efforts by USAID/Washington or field Missions and regional offices, as well as those of other international agencies. This would include coordinated work planning and programming in terms of location and activities.

Sustainability: The funding is for a five-year program and is expected to end after September 2017. There is no assurance of any continued funding for any particular partner or sub-partner after that time. The partner must ensure that plans are in place for sustainability of the programs after five years. Sustainability includes the development of technical competence, human capacity, management systems, infrastructure, relationships with government programs and financial independence.

Institutional Capacity Development: Host country and local organization capacity-development is an important element of the overall grant management program. Grant management programs include significant capacity development assistance in strategic planning, NGO registration, financial management, human resource management, networks, monitoring and evaluation, quality assurance, commodities, equipment, and logistics management, facilities, and fundraising. The best examples spend a relatively small proportion of the overall grant on these services and are quite specific as to the responsibilities of the prime grantee in strengthening local partners. Such awards must decrease the proportion of funds spent on capacity development assistance on a rapid timeframe as the capacity development capacity of local partners' increases.

Partnership Approach: There are a wide variety of private, public, and non-governmental organizations active in capacity development. Diverse partnerships are critical to the achievement of program objectives. Recipient should promote a consortium approach to

achieving the objectives of this program, and partner with local, regional and international organizations where it contributes to the success of the program. In addition, maximizing the use of local South African resources including both local firms and local personnel from these sectors is an important and vital aspect of the larger transition of some PEPFAR programs. South Africa has built a world-renowned cadre of capacity building and organization development professionals; through continued engagement and use of these South Africa resources, sustainability in HIV/AIDS interventions that benefit those affected by HIV/AIDS is further ensured.

b)   The following general guidance is provided with respect to issues such as coordination with other programs, gender and staffing. These parameters and guidance apply to the overall performance of the RFA.

Coordination with other Programs: This activity must complement the work of other programs supported within DSD, USAID and PEPFAR SA, and other donors in the areas of OVC, social systems strengthening, health systems strengthening, HIV prevention, care and treatment.

Gender: Gender considerations are a high priority and must be integrated into all activities of the various capacity development assistance components. Data should always be disaggregated by gender and age to show impact across the target population. Girls and boys are differentially affected HIV and poverty and have different opportunities and constraints to achieving improved standards of living. Men and women also access government services differently. Therefore, all activities undertaken will use a gender lens – when supporting the establishment of the research agenda and development of terms of reference and when providing training and other activities as appropriate. HIV/AIDS impacts the lives of girls differently than boys in that: a) HIV positive females are less likely than males to receive family support and resources; b) The burden of care often falls on females, while orphaned girls are more likely to be withdrawn from school than their brothers; and c) girls are more vulnerable to HIV infection than their male counterparts. This results, among other things, in a disproportionate effect of girls' primary school enrolments and emphasizes the need to view all interventions and activities through a gender lens.

The Recipient will be expected to describe any anticipated child protection risks associated with program activities as well as any policies or procedures the applicant's organization has in place or plans to put in place to mitigate the risk of child abuse, exploitation, violence, or neglect by program personnel.

B.   AUTHORIZING LEGISLATION/APPLICABILITY of 22 CFR 226

This award is authorized in accordance with the Foreign Assistance Act of 1961, as amended. 22 CFR 226 and the Standard Provisions for U.S., non-governmental Recipients will be applicable to an award to a U.S. organization made under this RFA. Standard Provisions for non-U.S., nongovernmental Recipients will be applicable for non-U.S. organizations.

For any subaward made to a U.S. subrecipient, 22 CFR Part 226 and all Standard Provisions for U.S., non-governmental Recipients are applicable to the subrecipient which meet the definition of "Recipient" in Part 226, unless a section specifically excludes a subrecipient from coverage.

For any subaward made to a non-U.S. subrecipient, the Recipient shall include the applicable "Standard Provisions for non- U.S. non-governmental Grantees."

C. **PROGRAM ELIGIBILITY REQUIREMENTS**

Any non-governmental organization (including, but not limited to, Private Voluntary Organizations (PVOs) and for-profit entities) or public international organization is eligible to apply under this RFA.

D. **AWARD ADMINISTRATION**

For U.S. organizations, 22 CFR 226, OMB Circulars, and the *Standard Provisions for U.S. Nongovernmental Recipients* will be applicable. For non-U.S. organizations, the *Standard Provisions for Non-U.S., Nongovernmental Recipients* and the applicable cost principles (OMB Circular A-122 for non-profit organizations, OMB Circular A-21 for universities, and the Federal Acquisition Regulation (FAR) Part 31 for for-profit organizations) will apply.

- 22CFR226: http://www.access.gpo.gov/nara/cfr/waisidx_06/22cfr226_06.html

- OMB Circulars; http://www.whitehouse.gov/omb/circulars/index.html

- Standard Provisions for U.S. Nongovernmental Recipients:
  http://www.usaid.gov/policy/ads/300/303maa.pdf

- Standard Provisions for Non-U.S., Nongovernmental Recipients:
  http://www.usaid.gov/policy/ads/300/303mab.pdf

- Standard Provisions Public International Organizations:
  http://www.usaid.gov/policy/ads/300/308mab.pdf

- FAR Part 31:
  https://www.acquisition.gov/far/html/FARTOCP31.html

SECTION II – AWARD INFORMATION

A.   ESTIMATE OF FUNDS AVAILABLE AND NUMBER OF AWARDS CONTEMPLATED

Subject to the availability of funds, the life of funding is estimated at $200-220 million allocated over a five-year period. USAID expects to award one Cooperative Agreements.

B.   START DATE AND PERIOD OF PERFORMANCE

The period of performance anticipated herein is five (5) years. The estimated start date is on or about November 18, 2013.

C.   TYPE OF AWARD

USAID plans to negotiate and award one Cooperative Agreement with the successful Applicant for this RFA. A Cooperative Agreement implies a level of "substantial involvement" by USAID (active involvement by USAID in certain programmatic elements during performance of the activity). The substantial involvement elements for this award are listed below (this list does not include approvals required by Standard Mandatory Provisions for Non-US NGOs or other applicable law, regulation or provision):

- Approval of key personnel;

- Approval of annual implementation plans, including the Monitoring and Evaluation Plan (e.g. types of training and assistance, quarterly schedules, etc);

- Agency and recipient collaboration and joint participation in implementation, including, but not limited to participation in advisory committees and direction and/or redirection of activities specified in the program description due to SAG priorities and guidance as well as interrelationships with other programs;

- For the Grant Award program, the following approvals:

  o Approval of APS grants manual;
  o Approval of final draft APS;
  o Approval of Technical Evaluation Committee members;
  o Approval of final award, specifically the program description (or Statement of Work) and related technical provisions.

- For the Institutional capacity-development of indigenous organizations and Capacity Building Assistance components, approval of final Statement of Work/Terms of Reference and the recipients of capacity development support.

SECTION III – ELIGIBILITY INFORMATION

A.   APPLICANTS

Qualified applicants may be U.S. or non-U.S. Non-Governmental Organizations (NGOs), Private Voluntary Organizations (PVOs), for-profit companies willing to forego profit, and Public International Organizations. Faith-based and community organizations that fit the criteria above are also eligible to apply.

B.   COST SHARE/RESOURCE LEVERAGING

1.   Cost Sharing

Cost Sharing is an important element of the USAID-recipient relationship. In addition to USAID funds, applicants are encouraged to contribute resources from their own or other sources for the implementation of this program. Cost sharing under the proposed award is required to be at least 10% of the total estimated amount. Cost sharing maybe cash, or in-kind contribution, but by definition, may not include USG funds or USG-funded in-kind contributions. Cost sharing must be used for the accomplishment of program objectives, and must consist of allowable costs under the applicable USG cost principles. (See OMB Circular A-110 and 22CFR 226.23 for discussion of allowable in-kind contributions)

2.   Resource Leveraging

This RFA further encourages applicants to leverage additional resources from the private sector in this program. USAID is looking for innovative, practical approaches to using these resources while promoting the program objectives.   In accordance with ADS 303.3.10.2, leveraging represents all of the non-USAID resources that are expected to be applied to a program. It may include cost sharing, but may also include resources that third parties bring to the program without necessarily providing them to the recipient. Thus the recipient is not responsible for any leveraging in excess of the agreed-upon cost share.

SECTION IV – APPLICATION AND SUBMISSION INFORMATION

A.   POINTS OF CONTACT

1. **Agreement Officer:**

Dana Rose
Regional Agreement Officer
USAID /Southern Africa
Box 43, Groenkloof, 0027
Pretoria, South Africa
+27 (012) 452-2172

2. Acquisition and Assistance Specialist:

Beatrice Lumande
Regional Acquisition and Assistance Specialist
USAID /Southern Africa
Box 43, Groenkloof, 0027
Pretoria, South Africa
+27 (012) 452-2377
applications4@usaid.gov

B.   REQUIRED FORMS

All Applicants must submit the application using the SF-424 series, which includes the:

•   **SF-424, Application for Federal Assistance -** (included in the application package available on grants.gov posted with this RFA):

•   **SF-424A, Budget Information - Nonconstruction Programs -** (included in the application package available on grants.gov posted with this RFA):

•   **SF-424B, Assurances - Nonconstruction Programs -** (included in the application package available on grants.gov posted with this RFA):

The program described in Section I above includes non-construction elements. Therefore, these mandatory forms for non-construction programs must be completed. Costs to non-construction activities should be included on the SF-424A. Copies of these forms are included as part of the application package posted with this RFA on Grants.gov.
.
C.   PRE-AWARD CERTIFICATIONS, ASSURANCES AND OTHER STATEMENTS OF THE RECIPIENT

In addition to the certifications that are included in the SF 424, organizations must provide the following certifications, assurances and other statements. Complete copies of these Certifications, Assurances, and Other Statements see link in Section "Attachments and Documents".

1.   For U.S. organizations, a signed copy of the mandatory reference, Assurance of Compliance with Laws and Regulations Governing Nondiscrimination in Federally Assisted Programs. This certification applies to Non-US organizations if any part of the program will be undertaken in the United States.

2.   A signed copy of the certification and disclosure forms for "Restrictions on Lobbying" (see 22 CFR 227);

3.   A signed copy of the "Certification Regarding Terrorist Funding" required by AAPD 04-14;

4.   Survey on Ensuring Equal Opportunity for Applicants; and

5.   Submission of a Data Universal Numbering System (DUNS) Number.   DUNS number is a nine-digit number established and assigned by Dun and Bradstreet, Inc. (D&B) to uniquely identify business entities. A DUNS number may be obtained from D&B by internet at www.dnb.com .

      a)   Access the web page: http://www.dnb.com;

      b)   Click on D&B D-U-N-S Number;

      c)   Click on "Are you a government contractor, vendor, or grant recipient?;

      d)   Click on "Click here to request your D-U-N-S Number via the web";

      e)   Follow the instructions. Questions should be directed to Dun and Bradstreet.

6.   Registered in Central Contractor Registration (CCR) unless exempt under 2 CFR 25.110. Central Contractor Registration (CCR) is the U.S. Government Federal repository into which an entity must provide information required for the conduct of business as a recipient. Additional information about registration procedures may be found at the CCR Internet site (currently at http://www.ccr.gov).

7.   Organizations that apply under this RFA and do not have an exception must ensure they have the necessary processes and systems in place to comply with the reporting requirements of 2 CFR 170 should they receive funding. See Standard Provision entitled "Reporting Subawards and Executive Compensation."

D.   **FORMAT GUIDELINES AND ASSUMPTIONS**

GENERAL

For the purposes of this RFA, the term "applicant" is used to refer to the organization submitting a concept paper and a full application upon request by USAID. "Submission" is used to refer to submitting the concept paper and full application.

Submissions shall be electronically sent to Beatrice Lumande at applications4@usaid.gov.

Submissions shall be prepared in English. Submissions in any other language shall be treated as non-responsive and eliminated from further consideration.

Submissions received by the deadline will be reviewed for responsiveness to the specifications outlined in these guidelines and the specified formats.

Submissions that are incomplete or not directly responsive to the specifications outlined in the guidelines, terms, conditions, specifications, and clauses of this RFA may be categorized as non-responsive and eliminated from further consideration. Budget submissions must be in USD and Rand, using an exchange rate of R8 to $1. Erasures or other changes must be initialed by the person signing the submission. The submission should reflect full consideration of all the information provided in this RFA. Note that submission of (concept paper or application) does not represent a USAID funding commitment.

CONCEPT PAPER FORMAT

Concept Papers must be submitted no later than the date indicated as the deadline for the submission of concept paper on the cover page of this RFA.

In developing the concept paper, the applicant should carefully consider all information contained in this RFA and must be within the parameters described in the Program Description section above, including the geographic areas. USAID/Southern Africa may opt to exclude from further consideration any submission which is not within these parameters.

Specifically, the concept paper must conform to the following page limitations and content:

   1.   Cover Page (in Adobe or MS Word) (1 page) - The cover page shall include full contact information including phone, fax, e-mail and contact person and closing date for receipt of the concept paper.

   2.   Program Concept Paper Technical Portion (in MS Word) (not to exceed 8 pages) including:

        a)   Strategic approach – This section should describe the proposed technical approach and methodology and address how the applicant will achieve the objectives of the Program. This section must also set forth the objectives, timeline (implementation plan), monitoring and reporting processes.

        b)   Management Plan – The management plan should outline which organization/ sub-partner will carry out the various tasks specified in the strategic approach. Applicants shall specify the composition and organizational structure of the program team. Use of local expertise is encouraged.

   3.   Technical/Administrative Capabilities in Proposed Work Area (in MS Word) (not to exceed 2 pages):

Describe your organization's technical and administrative capabilities and past experience in conducting programs similar in size and scope, with particular emphasis on the grant award/management and capacity development components. List all contracts, grants, or cooperative agreements involving relevant (similar or related) programs in size and scope conducted by the applicant (or consortium partners) over the past three years and include a brief statement of work performed. These other programs can be funded by any entity, public or private.

4. Concept Paper Budget Portion (in MS Excel) (not to exceed 1 page):

Provide a one-page budget summary which includes, at a minimum, the total funding requested broken down per year and the cost share contribution (e.g. in cash, in-kind), if any, that may be contributed by the applicant from its own resources or other non-U.S. government sources. For USAID funds, apply the following plug figure: $100 million for the Grant Award program.

FULL APPLICATION FORMAT

If initial review by USAID/Southern Africa indicates the concept paper merits further consideration for funding, USAID will request a full application. The application must be submitted no later than the date to be indicated in the request for full application, as the deadline for the submission of applications.

The application must be submitted in two separate volumes: (a) technical and (b) cost or business application. The application should be prepared according to the structural format set forth below.

1. **Technical Application Format**

The technical application shall not to exceed 30 pages and shall include: (1) a Cover Page; (2) an Executive Summary; (3) a Program Description; (4) Past Performance Information; and (5) Attachments/Annexes (Resumes, references and Letters of Commitment). Page limitations are specified below for certain sections; applications must be on A4, (210mm by 297mm paper), single-spaced, 12-point type or larger, and have at least one inch margins on the top, bottom, and both sides.

    a) **Cover Page:** The cover page should include the names of the organizations/ institutions involved in the proposed application, with the lead or primary applicant clearly identified. In addition, the Cover Page should include the name of the individual authorized to bind the prime applicant, including his/her signature, title or position with the organization/ institution, address, e-mail address, and telephone and fax numbers.

Applicants who include data that they do not want disclosed to the public for any purpose or used by the U.S. Government except for evaluation purposes, should: Mark the title page with the following legend:

"This application includes data that shall not be disclosed outside the U.S. Government and shall not be duplicated, used, or disclosed - in whole or in part - for any purpose other than to evaluate this application. If, however, a grant is awarded to this applicant as a result of - or in connection with - the submission of this data, the U.S. Government shall have the right to duplicate, use, or disclose the data to the extent provided in the resulting grant. This restriction does not limit the U.S. Government's right to use information contained in this data if it is obtained from another source without restriction. The data subject to this restriction are contained in sheets ____"; and

Mark each sheet of data it wishes to restrict with the following legend:

"Use or disclosure of data contained on this sheet is subject to the restriction on the title page of this application."

b) **Executive Summary:** A two page (maximum) brief description of proposed activities, goals, purposes, and anticipated results. Briefly describe technical and managerial resources of the organization. Describe how the overall program will be managed.

c) **Program Description:** The Program Description will contain the main parts of the technical application and shall include the following sections:

i. **Technical approach:**

This subsection should describe in detail the proposed technical approach and methodology and comprehensively address how the applicant will achieve the objectives outlined in the Program. This section must also set forth in sufficient detail the conceptual approach, methodology, and techniques, including the implementation plan and M&E Plan.

An illustrative implementation plan for achieving the expected program results must be submitted. The implementation plan should clearly outline links between the proposed results, conceptual approach, performance milestones, and a realistic timeline for achieving the program results. Applicants will be expected to reflect their understanding of the health and HIV and AIDS initiatives already being conducted in-country by the SAG, USG, other implementing partners, and other donors. This section must include a plan for promoting sustainability through capacity building and hand-over of decision- making to relevant SAG decision-makers. Applicants will be expected to describe how they will work and align with the Department of Social Development priorities. Implementation plans should be presented in a matrix format, with detailed interim objectives and milestones. The implementation plan should include a description of all planned activities with sufficient detail including:

    A. Sequence of activities;
    B. Timeframes for implementing each activity;
    C. Outcome of each activity;
    D. Impact on gender equality;
    E. Impact on disadvantaged communities;
    F. Involvement of alliances and partnerships;
    G. Sustainability plan.

An illustrative M&E plan must be submitted. This illustrative M&E plan must clearly state outputs, indicators, benchmarks and targets which are results-oriented. The M&E plan also must clearly state how proposed activities relate to the program objectives and expected outcomes and how data will be collected, verified and reported to document progress toward meeting the objectives. All data should be disaggregated by age and sex, and should take into consideration PEPFAR indicator requirements. Data quality is a critical component of this program, and all applicants must have appropriate systems and capacity for effective data management.

ii. **Organizational Capability, Management and Staffing Approach**

    A. Organizational Capability

In this subsection, Applicants should describe its organizational knowledge, capability and experience in managing programs similar in size and scope. Emphasis should be on activities in grant award and management, and capacity building of indigenous and governmental entities.

B.   Management Approach

Applicants should provide a management plan, describing how the program will be managed, including the approach to addressing potential problems. The management plan should outline which organization/ sub-awardee will carry out the various tasks specified in the technical approach and the lines of communication. Applicants shall specify the composition and organizational structure of the entire program team (including sub-partners). The management plan should also demonstrate how the applicant will use in-country experts and resources.

Applicants that plan to team up with other organizations or government agencies for the implementation of the agreement should outline the services to be provided by each organization and should discuss how the collaboration with these partners fits into the Applicant's proposed management plan. Note that SAG letters of support are not requested nor desired, as these will be negotiated after award, where appropriate.

C.   Staffing

Applicants should propose a comprehensive staffing plan to implement this program that demonstrates the necessary balance of skills and experience. The staffing plan should include the composition of the entire program team, description of each staff position, and for key positions, estimated amount of time devoted to the program.

Applicants shall provide resumes, references and letters of commitment for all key personnel identified below. Resumes may not exceed three pages in length and shall be in chronological order starting with most recent experience. Three professional references must be included for each proposed key personnel, including full name and relationship, accurate and email address and phone number. The U.S. Government retains the right to contact employment references for all key personnel (including those not provided by the Applicant), and to use this information in the rating of personnel proposed. Following is illustrative key personnel and their qualifications.

Chief of Party/Program Director will be responsible for technical leadership and administrative oversight of the program and will serve as the principal institutional liaison to USAID.
- A Master's degree or higher training in management, international development, macroeconomics, public health policy, development finance, economic policy and/or social sector applied economics, or in a closely related field;
- Five years' experience as a Chief of Party/Director and/or Deputy Chief of Party or Deputy Director of a large development program of equivalent size and scope, of which experience in Southern Africa is preferred;
- Experience interacting with developing country government, international organization, other bilateral donor and civil society representatives and senior level government officials;
- Five years of demonstrated experience in the successful implementation of international development activities, with preference given to system strengthening activities.
- Five years of relevant and diverse experience managing and coordinating complex development programs, preferably in South Africa;
- Previous experience in development of capacity of local organizations and knowledge of Capacity Development methodologies;
- Management of a USG cooperative agreement or contract at least five years of which shall have been in senior program management including direct supervision of professional and support staff;

- In-depth understanding of the role of civil society in development and experience in development capacity for civil society organizations;
- Demonstrated ability to establish and sustain professional relationships with civil society organizations and host country government counterparts;
- Excellent communicator with demonstrated experience in communicating complex processes to diverse stakeholders, including government officials at the national, provincial and district levels, service orientated NGOs, civil society organizations, donors, etc.; and
- Strong communication skills, strong interpersonal skills, must have a proven ability to develop and communicate a common vision among diverse partners, and lead a multi-disciplinary team.

Monitoring and Evaluation Director
- Minimum of a Master's degree in public health, demography, biostatistics, statistics, or a related field;
- Minimum of 5 years of work experience managing data intensive programs in designing, monitoring and evaluation methodologies;
- Experience with qualitative and quantitative M&E data collection and analysis methods, including tracking outcome indicators;
- Knowledge of M&E issues with respect to system strengthening/capacity development and service delivery strengthening related to HIV/AIDS
- Experience in designing M&E methodologies and tools, and the ability to coach and train others in their use;
- Demonstrated Capacity Development experience and knowledge to provide support and guidance to program staff on design, monitoring and evaluation;
- Demonstrated experience in analyzing, interpreting, and reporting on M&E results so that lessons can be learned and incorporated into programming.
- Demonstrated capacity to coordinate and implement evaluations, including experience developing terms of reference, recruiting, training and managing a diverse team;
- Excellent ability to communicate effectively in English, both verbally and in writing.

Finance & Budget Operations Director
- Bachelor's degree or higher in financial management, accounting, financial analysis, development finance, budgeting, macroeconomics, and/or applied economics, or a closely related field;
- At least 5 years of progressively responsible experience in accounting, auditing or financial management or equivalent;
- Previous experience of development or enhancing civil society organizational financial management capacity;
- Five years of relevant grants and short term contract management experience;
- Knowledge of applicable USAID/USG rules and regulations;
- Ability to set-up financial regulation systems with partner organizations to ensure efficient and accurate disbursement of funds;
- Evidence of excellent interpersonal, management and team development experience; and
- Excellent written and oral communication skills.

Senior Training & Capacity Building Advisor
- Masters-level degree in organizational development, international development, business administration or related field; preferably focused on capacity building;

- A minimum of 7 years direct work experience in developing countries as a senior expert in training and capacity building, preferably in social and health services systems;
- Proven leadership and management skills in a large, international organization, including recruitment, orientation, training and performance planning and management of staff;
- Ability to coach, mentor and develop and strengthen capacity for high performance;
- Strong knowledge of instructional systems design, including needs analysis and evaluation strategies, and adult learning methodologies;
- Thorough knowledge and experience of developing capacity building programs in training-related situations;
- Experience in developing capacity building programs in government, NGO and corporate sectors;
- Experience with assessing and supporting capacity development needs of staff with training-related responsibilities;
- Proven experience in adult performance improvement program design and delivery, including training of trainers, curriculum development and implementation to improve the functional capacity of organizations to improve sustainability;
- Advanced understanding of a wide range of capacity building approaches, best practices and lessons learned;
- Proven ability to lead as well as to participate in multidisciplinary, multicultural teams;
- Strong interpersonal skills and ability to develop relationships across multiple levels internally and externally;
- Excellent verbal and written English language skills;
- Strong technical writing, presentation and facilitation skills;
- Strong problem solving, multitasking and time management skills with ability to work to tight deadlines.

iii. Past Performance Information:

The applicant shall provide a list in an Annex to the technical application, up to five (5) of the most recent and relevant awards for efforts similar to work in this RFA.   For each of the awards listed the application must provide contact names, job titles, mailing addresses, phone numbers, e-mail addresses and a description of the performance to include:

- Award identifying number;
- Agency or entity providing the funding;
- Description of the scope of work, including, but not limited to a brief discussion of the complexity/diversity of tasks;
- Primary location(s) of work;
- Term of performance;
- Skills/expertise required;
- Dollar/Rand value;
- Award type, e.g. fixed-price or cost; and
- Contact information for two persons, including name, job title, mailing address, phone numbers and e-mail address.

The description of the scope must identify the partnerships with organizations, their specific involvement in the proposed activities, operational arrangements for collaboration and potential

cost sharing. Administrative arrangements should be clearly presented including: management approach to the overall execution of the activities; organizational structure; administrative arrangements; logistical support; key personnel involved and corresponding roles and responsibilities.

(USAID recommends that the Applicants alert the contacts that their names have been submitted and that they are authorized to provide performance information concerning the listed awards if and when USAID requests it. If extraordinary problems impacted any of the referenced contracts, provide a short explanation and the corrective action taken).

2. Cost/Business Application Format:

A Cost/Business Application must be submitted separately from the Technical Application. There is no page limit for this portion. The cost application (USAID and cost share contributions) shall include:

- Completed SF-424 forms,
- A 1-page summary budget in Microsoft Excel as per Attachment I budget format,
- A full detailed budget in Microsoft Excel as per Attachment I budget format, and
- An accompanying budget narrative in Microsoft Word.

a)   For evaluation purposes, the budget must be proposed in USD and Rand, using an exchange rate of R8 to $1. For budgeting purposes, Applicants should assume notification of an award approximately sixty (60) days after the date established as a deadline for receipt of applications. Applicants *must* apply a plug figure of $100 million for the Grant Award program.

b)   The budget should provide, in detail to the individual line item, a breakdown of the types of costs anticipated. The types of costs should be organized based on the cost categories in the SF-424. All budgets shall include a sheet relating to the entire 60-month period and separate sheets for each of the five program years. These budgets shall include a breakdown of the costs allocated to sub-recipients involved in the program, and the breakdown of the cost share (financial and in-kind contributions) of all such organizations. The budget should also include separate subcontract budgets.

c)   <u>Budget notes are required</u>. These budget notes must provide an accompanying narrative by line item which explains in detail the basis for how the individual line item costs were derived.

d)   The following Section provides guidance on line-item costs.

Salary and Wages - Direct salaries and wages should be proposed in accordance with the organization's personnel policies.

Fringe Benefits - If the organization has a fringe benefit rate that has been approved by an agency of the Government, such rate should be used and evidence of its approval should be provided. If a fringe benefit rate has not been so approved, the application should propose a rate and explain how the rate was determined. If the latter is used, the narrative should include a detailed breakdown comprised of all items of fringe benefits (*e.g*., unemployment insurance, workers compensation, health and life insurance, retirement, etc.) and the costs of each, expressed in dollars and as a percentage of salaries.

Travel and Transportation - The application should indicate the number of trips, domestic and international, and the estimated costs. Specify the origin and destination for each proposed trip, duration of travel, and number of individuals traveling. *Per diem* should be based on the applicant's normal travel policies; (applicants may however choose to refer to the Federal Standardized Travel Regulations for cost estimates).

Other Direct Costs - This includes communications, report preparation costs, passports and visas fees, medical exams and inoculations, insurance (other than insurance included in the applicant's fringe benefits), equipment (procurement plan for commodities), branding/marking supplies, etc. The narrative should provide a breakdown and support for all and each other direct costs.

Audits - If the applicant proposes expending more than $300,000 of USAID funding during a single fiscal year of the applicant, the applicant must include funds within the budget to contract an audit.

Seminars and Conferences - The application should indicate the subject, venue, and duration of proposed conferences and seminars and their relationship to the objectives of the program, along with estimates of costs.

Foreign Government Delegations to International Conferences: Funds in this agreement may not be used to finance the travel, per diem, hotel expenses, meals, conference fees or other conference costs for any member of a foreign government's delegation to an international conference sponsored by a public international organization, except as provided in ADS Mandatory Reference "Guidance on Funding Foreign Government Delegations to International Conferences or as approved by the AOR [http://www.info.usaid.gov/pubs/ads/300/refindx3.htm].

Source and Origin Requirements - The authorized Geographic Code for this Agreement will be 935.

Training Costs - If there are any training costs to be charged to this Agreement, they must be clearly identified.

e) <u>If requested by USAID after submission of applications</u>, the following information on the Applicant's financial and management status or that of major subcontractors and sub-recipients will be requested, including:

i. Audited financial statements for the past three years,

ii. Organization chart, by-laws, constitution, and articles of incorporation, if applicable,

iii. If the applicant has made a certification to USAID that its personnel, procurement and travel policies are compliant with applicable OMB circular and other applicable USAID and Federal regulations, a copy of the certification should be included with the application. If the certification has not been made to USAID/Washington, the applicant should submit a copy of its personnel (especially regarding salary and wage scales, merit increases, promotions, leave, differentials, etc.), travel and procurement policies, and indicate whether personnel and travel policies and procedures have been reviewed and approved by any agency of

the Federal Government. If so, provide the name, address, and phone number of the cognizant reviewing official.

If applicable, approval of the organization's accounting system by a U. S. Government agency including the name, addresses, and telephone number of the cognizant auditor.

      f)   The Cost/Business Application should also address the applicant's resources and capacity in the following areas in narrative form:

        i.   Have adequate financial resources or the ability to obtain such resources as required during the performance of the Agreement;

        ii.   Has the ability to comply with the agreement conditions, taking into account all existing and currently prospective commitments of the applicant, non-governmental and governmental;

        iii.   Has a satisfactory record of performance (only a brief discussion of this issue is required in the cost/business application since past performance is an evaluation factor – the applicant may wish to discuss any notable issues re its record of performance that were not discussed in the technical application);

        iv.   Has a satisfactory record of integrity and business ethics; and

        v.   Is otherwise qualified and eligible to receive a cooperative agreement under applicable laws and regulations (e.g., EEO).

      g)   <u>If requested by USAID after submission of applications</u>, please provide information on the applicant's financial management status or and evidence of responsibility considered necessary in order for the Agreement Officer to make a determination of responsibility. Please note that a positive responsibility determination is a requirement for award, and all organizations shall be subject to a pre-award survey to verify the information provided and substantiate the determination.

      h)   Cost Sharing: Cost sharing is required, in addition to USAID funds. Applicants are required to contribute resources from their own, private or local sources for the implementation of this program. Applicants are therefore required to submit a separate cost-share budget clearly identifying the resources they intend to contribute to the total cost of the resultant agreement. Cost sharing must be verifiable from the recipient's records, is subject to the requirements of the Standard Provision number 21 (required as applicable) for Non-U.S. Nongovernmental Recipients entitled "Cost Share" or Standard Provision number 9 (required as applicable) for U.S. Nongovernmental Recipients entitled "Cost Sharing (Matching)" and can be audited.

E.   <u>SUBMISSION DEADLINES</u>

Concept papers shall be due at the time and date stated on the cover page of this RFA and full applications shall be due at the date at time will be communicated after review of the concept papers. USAID will determine that any Applications that are not received by the Agreement Officer by the method specified below by the time and date indicated will be late. Consistent with ADS 303.3.6.7, applications that are submitted late may be eliminated from the

competition. If a late application is evaluated and considered for award, all similarly-situated late applications (in terms of time of receipt) will also be evaluated and considered for award.

F.   FUNDING RESTRICTIONS

There are no funding restrictions applicable to this RFA at this time.

G.   PREAWARD COSTS

Without prior written approval from the Agreement Officer, reimbursement of pre-award costs will not be allowed.

H.   OTHER SUBMISSION REQUIREMENTS

1.   Applications are to be submitted electronically via email with up to 10 attachments/ annexes (3MB limit) per email compatible with MS Word/Excel environment, and signature pages in adobe to applications4@usaid.gov. The subject line must state the RFA number.

2.   Faxed applications are not authorized for this RFA and will not be accepted.

I.   BRANDING STRATEGY AND MARKING PLAN

It is a federal statutory and regulatory requirement that all USAID programs, programs, activities, public communications, and commodities that USAID partially or fully funds under a USAID grant or cooperative agreement or other assistance award or subaward must be marked appropriately overseas with the USAID Identity.

Pursuant to ADS 303.3.6.3.f and ADS 320.3.1.2, the apparently successful applicant will be requested to submit a Branding Strategy and Marking Plan that will have to be successfully negotiated before a cooperative agreement will be awarded, except in cases where an existing waiver applies.

These plans shall be prepared in accordance with the guidance in ADS 320.3.1.2, 22 CFR 226.91 and the references therein, and the requirements of "Marking Plan" and "Marking of USAID-funded Assistance Awards" contained in AAPD 05-11 and in 22 CFR 226.91. **In addition, the winning applicant will be required to comply with the South Africa PEPFAR Team policy on marking and branding, inclusive of appropriate use of the PEPFAR/South Africa logo.** Please note that the Branding Strategy and Marking Plan shall not be included with the original application but shall be provided only after a written request of the Agreement Officer.

In contrast to "exceptions" to marking requirements, waivers based on circumstances in the host country must be approved by Mission Directors or other USAID Principal Officers. ADS Chapter 320 sections concerning "assistance" apply to this RFA.   ADS Chapter 320 sections concerning "acquisition" do not apply to this RFA. ADS Chapter 320 can be found on the USAID website: http://www.usaid.gov/policy/ads/300/320.pdf.

A helpful list of Frequently Asked Questions (FAQs) about branding and marking can also be found on the USAID website: http://www.usaid.gov/branding/marking_faq.html.

SECTION V – APPLICATION REVIEW INFORMATION

A. <u>EVALUATION CRITERIA</u>

The criteria presented below have been tailored to the requirements of this particular RFA. Applicants should note that these criteria serve to: (a) identify the significant matters which applicants should address in their applications and (b) set the standard against which all applications will be evaluated. The following evaluation criteria will be used to make an award decision.

CONCEPT PAPER – STEP ONE

Concept Papers will be evaluated using the following criteria:

1.	The degree to which the stated objectives, program priorities, timing, monitoring and reporting processes are likely to achieve the general requirements and expectations of this RFA;	25 points
2.	The quality and suitability of the Management Plan, which explains the role of each subpartner, including the use of local expertise;	20 points
3.	Demonstrated capability to implement the proposed activities;	50 points
4.	The degree to which the proposed budget is effective and likely to achieve the proposed activities and results.	5 points
Total		**100 points**

FULL APPLICATION - STEP TWO

1. Technical Application

Technical Merit	40 points
Organizational Capacity	30 points
Past Performance	20 points
Cost Effectiveness	10 points
Total	**100 points**

a) **Technical Merit (40 Points)**

The extent to which the proposed technical approach and methodology is likely to achieve the stated objectives, program priorities, timing, monitoring and reporting processes, gender, and the general requirements and expectations of this Program. Appropriateness and feasibility of implementation plan and monitoring and evaluation plan

b) Organizational Capability, Management and Staffing Approach (30 points)

The organization's demonstrated knowledge, capability and experience in managing similar programs; proposed management plan, including how the program will be managed and the approach to address potential problems; the composition and organizational structure of the entire program team (including sub-partners) and the extent to which the management plan incorporates in-country experts and resources; and the extent to which the staffing plan demonstrates the necessary balance of skills and experience, including composition of the entire program team, incorporation of in-country experts and resources, descriptions of each staff position and the estimated amount of time devoted to the program.

c) Past Performance (20 points)

Past performance will be evaluated based on how well an applicant performed; relevancy of work performed under the program; significant achievement and problems; and any indications of excellent or exceptional performance in the most critical areas. The Applicant shall provide past performance information for itself and each major sub-grantee (one whose proposed cost exceeds 15% of the Applicant's total proposed cost) in accordance with the following:

USAID may use performance information obtained from other than the sources identified by the applicant. USAID will utilize existing databases of agreements performance information and solicit additional information from the references provided in and from other sources if and when the Agreement Officer finds the existing databases to be insufficient for evaluating an applicant's performance.

USAID will initially determine the relevance of similar performance information as a predictor of probable performance under the subject requirement. USAID may give more weight to performance information that is considered more relevant and/or more current.

Note: The USG will assign a neutral rating to an application which through no fault of its own has no past experience history (e.g. new business).

d) Cost Effectiveness (10 points)

Cost effectiveness will be evaluated on the extent to which the Applicant's approach is cost effective; namely, that the proposed budget is reasonable in view of the activities and the approaches proposed make good use of the proposed resources, capacities, tools, and leveraged sources of funding. An application will be viewed more favorably if it proposes strategies and activities which are measureable and if the costs can be tied directly to specific corresponding activities, results, or districts. A realistic commitment to cost share and any Public-Private Alliance leverage is generally viewed as enhancing the cost effectiveness of an application.

B. OTHER FACTORS TO BE CONSIDERED

If USAID's review of the application results in a recommendation for funding, then the organization and USAID/Southern Africa will enter final discussions to ensure all pre-award requirements are met and significant grant terms are negotiated and agreed. The exact details will vary according to the circumstances pertaining to each application; however, the following are common areas that require discussion and agreement prior to award:

1.   Payment terms;

2.   Procedures concerning administrative reporting and logistical requirements for the program including training components;

3.   Branding Strategy and Marking Plan; USAID will request and evaluate a branding strategy and marking plan from apparently successful applicants, except in cases where an existing waiver applies; this evaluation will not be part of the competitive evaluation set forth in this section.   **In addition, the winning applicant will be required to comply with the South Africa PEPFAR Team policy on marking and branding, inclusive of appropriate use of the PEPFAR/South Africa logo.**

4.   Cost reasonableness has not been assigned a score, but the application will be evaluated for cost reasonableness, allocability, and allowability. While cost may be a determining factor in the final award(s) decision, the technical merit of applications is substantially more important under this RFA.

C.   REVIEW AND EVALUATION PROCESS

Technical applications will be evaluated in accordance with the evaluation criteria set forth above by a Technical Evaluation Committee (TEC) comprised of USAID employees, other U.S. Government representatives and South African experts.

The cost applications will be evaluated by the Agreement Officer based on the considerations specified above. Award will be made to the responsible applicant whose application is determined to be the best based on technical and cost factors specified in this RFA. The final award decision is made by the Agreement Officer taking into consideration the TEC recommendations.

The Agreement Officer is the only individual who has authority to obligate the Government and may legally commit the U.S. Government to the expenditure of public funds. No costs chargeable to the proposed Agreement may be incurred before receipt of either an Agreement signed by the Agreement Officer or a specific, written authorization from the Agreement Officer.

SECTION VI – AWARD AND ADMINISTRATION INFORMATION

A. **NOTIFICATION TO APPLICANTS**

A notice of Award signed by the Agreement Officer is the authorizing document for this RFA. The notice of award will be provided electronically to thee successful applicant's point of contact listed in the application.

Notification will also be made electronically to unsuccessful applicants pursuant to ADS 303.3.7.1.b.

Prior to issuance of award, some applicants may be required to submit additional information on the organization and key individuals for vetting. For example, for those organizations that have not had previous grants or cooperative agreements with the US Government, Articles of Incorporation or other documentation which substantiates the legal character of the entity will be requested. In such cases, issuance of an award is contingent on the timely receipt of the information requested and the successful completion of the vetting process.

The vetting process may include pre-award responsibility determination which will be conducted and will include an examination of the application's budget details to ensure it is a realistic financial expression of the proposed program and does not contain estimated costs which may be unreasonable or unable to be charged under the program. Staff salaries will be considered reasonable to the extent that they are comparable to that paid for similar work in the relevant labor market; salary history will not be used to determine the salary range for a particular job category.

B. **DEVIATIONS**

No deviations are currently contemplated to the standard provisions for the cooperative agreement contemplated by this RFA.

C. **GENERAL INFORMATION ON REPORTING REQUIREMENTS**

The following reports and related requirements will be included in the Cooperative Agreement issued as a result of this RFA: a) Annual Implementation Plan, b) Quarterly Progress Reports, c) Quarterly Financial Reports, d) Annual/Semi-Annual Performance Reports, e) Final Agreement Completion Report; and f) Close-out Plan.

The recipient shall be responsible to USAID/Southern Africa for all matters related to the execution of the agreement. Specifically, the recipient shall report to the Regional Agreement Officer (RAO) and to the Regional Agreement Officer's Representative (AOR), within the office of USAID/Southern Africa, who will be designated by the RAO prior to award..

1. **Annual Implementation Plan**

No later than sixty (60) days after the signing of the Award, the Recipient will submit an Annual Implementation Plan that delineates the process, operational approaches and monitoring and evaluation plan to achieve the results set forth in the RFA.   Except in the initial year, the Annual Implementation Plan will include an Annual Report, summarizing annual and cumulative grants/contracts made and results achieved. The Annual Report is intended to capture both substantive as well as summary financial information.

The recipient will submit annual implementation plans to the Agreement Officer's Representative (AOR) in concert with other PEPFAR/South Africa partners, keyed into each US fiscal year of the Cooperative Agreement. The recipient will provide an illustrative annual implementation plan for the first fiscal year of the Cooperative Agreement, which will be finalized in consultation with USAID/Southern Africa during the first 30 days following the awarding of the agreement.

Subsequent 12-month implementation plans through the end of the agreement will be prepared on a 12-month fiscal year basis (October 1 – September 30) and submitted to the AOR not later than 30 days before the close of each preceding fiscal year, e.g. August 31. USAID will have 15 days to provide comments. The annual implementation plan will not be considered complete until it has been accepted in writing by the AOR.

      a)   Contents - The implementation plan will describe activities to be conducted at a greater level of detail than the agreement Program Description, but shall be cross-referenced with the applicable sections in the agreement Program Description. For example the plan will include an annual training schedule (broken out by quarter) with the types of training and assistance offered, a brief description of each, the target audience and expected outcomes for participants.

All implementation plan activities must be within the scope of the agreement. Implementation plan activities shall not alter the agreement Program Description or terms and conditions in any way; such changes may only be approved by the Agreement Officer, in advance and in writing. Thereafter, if there are inconsistencies between the implementation plan and the agreement Program Description or other terms and conditions of this agreement, the latter will take precedent over the implementation plan.

      b)   Distribution - Copies of the final implementation plans will be distributed as follows: one copy to the AOR, and one copy to the Agreement Officer.

      c)   Revisions - In the event that revisions to the annual implementation plans are necessary, the recipient shall submit a revised implementation plan or a modification to the implementation plan in writing. The modification or revision will not be effective until it has been approved by the AOR in writing.

2.   Quarterly Progress Reports

The recipient shall submit quarterly performance reports to the USAID/Southern Africa AOR to reflect results and activities of each preceding quarter. Reports are to be submitted within 10 days of the end of each quarter that is, Dec 31, March 31, June 30, and September 30 as follows: one copy to the AOR and one copy to the Agreement Officer.

These reports will be used by USAID/Southern Africa to fulfill electronic reporting requirements to USAID/Washington and the Office of the Global AIDS Coordinator (OGAC); consequently, they need to conform to certain requirements.

The report shall describe progress made during the reporting period and assess overall progress to that date versus agreed upon indicators including the agreement-level outputs achieved, using the agreement-level performance indicators established in the M&E plan. The reports shall also describe the accomplishments of the recipient and the progress made during the past quarter and shall include information on all activities, both ongoing and completed during that quarter.

The M&E plan referenced above is approved as per substantial involvement section. The final M&E plan will include establishing a final list of indicators, baseline data and performance targets for each indicator. The M&E plan will be revised as appropriate on an ongoing basis in collaboration with USAID/Southern Africa.

The quarterly reports shall highlight any issues or problems that are affecting the delivery or timing of services provided by the recipient. The reports will include financial information on the expense incurred, available funding for the remainder of the activity and any variances from planned expenditures.

3. Quarterly Financial Reports

Quarterly financial reports shall be in accordance SF 425 reporting requirements. The recipient will submit to the USAID/Southern Africa Agreement Officer and the AOR a quarterly financial report within 30 days after the end of the recipient's first fiscal year quarter, and quarterly thereafter.

4. Annual/Semi-Annual Performance Reports (APR & S/APR)

a) Twice yearly, the recipient will be required to prepare and submit performance reports reflecting more detailed data on achievements and targets. PEPFAR/South Africa will provide electronic formats in order to access data needed. Due dates for these reports are on or about May 1st and October 31st. Based on the Performance Monitoring Plan to be developed by the Recipient in collaboration with USAID, the Recipient shall submit an updated report on progress towards agreed targets and indicators six months after each Annual Report. The report should at minimum include the following: a) explanation of quantifiable output of the programs or projects supported; b) reasons why established goals and objectives were not met, if appropriate; c) analysis and explanation of cost overruns or high unit costs; and d) information on all awards made to sub-partners. The Recipient must immediately notify USAID of developments that have a significant impact on award-supported activities. Further, notification must include a statement of the action taken or contemplated, and any assistance needed to resolve the situation.

b) PEPFAR mandatory reporting requirement. The Recipient will report separately the USAID data elements and PEPFAR data elements into PIMS II at http://pims.sharing.org.za. Data will be collected on the DS-4213, PEPFAR Program Expenditures; OMB form which is currently undergoing approval by the Office of Management and Budget (OMB) pursuant to the Paperwork Reduction Act.

c) The Recipient will maintain a consolidated database that tracks sub-partner performance. Performance data shall be in accordance with the standard set for HIV and AIDS indicators that USAID is required to report on, including PEPFAR requirements. In addition, performance data should meet reasonable standards of validity, reliability, timeliness, precision, and integrity.

5. Final Agreement Completion Report

The recipient shall submit a final/completion report to the AOR which summarizes the accomplishments of this agreement, methods of work used, budget and disbursement activity,

and recommendations regarding unfinished work and/or program continuation. The final report which includes: an executive summary of the Recipient ' s accomplishments in achieving results and conclusions about areas in need of future assistance; an overall description of the Recipient' s activities and attainment of results during the life of the Award; an assessment of progress made toward accomplishing results, significance of these activities, important findings , comments, and recommendations The final/completion report shall also contain an index of all reports and information products produced under this agreement. The report shall be submitted no later than 90 days following the estimated completion date of the agreement.

The reports described above are in addition to any financial or performance reporting otherwise required in accordance with the applicable regulations. Copies of all required financial reports will be submitted to the Agreement Officer's Representative at USAID/Southern Africa.

6. Close-out Plan

Six months prior to the completion date of the agreement, the applicant will submit a close-out plan for AOR approval. The close-out plan will include, at a minimum, an illustrative property disposition plan, a plan for the phase-out of in-country operations, a delivery schedule for all reports or other deliverables required under the task order and a timetable for completing all required actions in the close out plan, including the submission date of the final property disposition plan to the Agreement Officer.

D. ENVIRONMENTAL COMPLIANCE

1a)   The Foreign Assistance Act of 1961, as amended, Section 117 requires that the impact of USAID's activities on the environment be considered and that USAID include environmental sustainability as a central consideration in designing and carrying out its development programs. This mandate is codified in Federal Regulations (22 CFR 216) and in USAID's Automated Directives System (ADS) Part 204 *http://www.usaid.gov/policy/ADS/200/*), which, in part, require that the potential environmental impacts of USAID-financed activities are identified prior to a final decision to proceed and that appropriate environmental safeguards are adopted for all activities. The recipient shall be responsible for implementing all IEE conditions pertaining to activities to be funded under this RFA

1b)   In addition, the Recipient must comply with host country environmental regulations unless otherwise directed in writing by USAID. In case of conflict between host country and USAID regulations, the latter shall govern.

1c)   No activity funded under this Cooperative Agreement will be implemented unless an environmental threshold determination, as defined by 22 CFR 216, has been reached for that activity, as documented in a Request for Categorical Exclusion (RCE), Initial Environmental Examination (IEE), or Environmental Assessment (EA) duly signed by the Bureau Environmental Officer (BEO). (Hereinafter, such documents are described as "approved Regulation 216 environmental documentation.")

2)   An Initial Environmental Examination (IEE) 674-008 (Attachment II) has been approved for the Health Program funding this Cooperative Agreement. The IEE covers activities expected to be implemented under this Cooperative Agreement. USAID has determined that a **Negative Determination with conditions** applies to one or more of the proposed activities. This indicates that if these activities are implemented subject to the specified conditions, they are

expected to have no significant adverse effect on the environment. The recipient shall be responsible for implementing all IEE conditions pertaining to activities to be funded under this award.

3)   Reserved

4a)   As part of its initial Work Plan, and all Annual Work Plans thereafter, the Recipient in collaboration with the USAID AOR and Mission Environmental Officer or Bureau Environmental Officer, as appropriate, shall review all ongoing and planned activities under this Cooperative Agreement to determine if they are within the scope of the approved Regulation 216 environmental documentation.

4b)   If the Recipient plans any new activities outside the scope of the approved Regulation 216 environmental documentation, it shall prepare an amendment to the documentation for USAID review and approval. No such new activities shall be undertaken prior to receiving written USAID approval of environmental documentation amendments.

4c)   Any ongoing activities found to be outside the scope of the approved Regulation 216 environmental documentation shall be halted until an amendment to the documentation is submitted and written approval is received from USAID.

5a)   Unless the approved Regulation 216 documentation contains a complete Environmental Mitigation and Monitoring Plan (EMMP) or a project mitigation and monitoring (M&M) plan, the recipient shall prepare an EMMP or M&M Plan describing how the recipient will, in specific terms, implement all IEE and/or EA conditions that apply to proposed project activities within the scope of the award. The EMMP or M&M Plan shall include monitoring the implementation of the conditions and their effectiveness.

5b)   Integrate a completed EMMP or M&M Plan into the initial work plan.

5c)   Integrate an EMMP or M&M Plan into subsequent Annual Work Plans, making any necessary adjustments to activity implementation in order to minimize adverse impacts to the environment.

E.   The following provision is incorporated into this RFA.

USAID DISABILITY POLICY - ASSISTANCE (JUNE 2012)

The recipient must not discriminate against people with disabilities in the implementation of USAID funded programs and should demonstrate a comprehensive and consistent approach for including men, women, and children with disabilities. The text of the USAID Disability Policy can be found at the following Web site: pdf.usaid.gov/pdf_docs/PDABQ631.pdf.

[END OF PROVISION]

SECTION VII – AGENCY CONTACTS

The USAID contacts for this solicitation are indicated in Section IV above.

SECTION VIII – OTHER INFORMATION

A. USAID reserves the right to fund any or none of the applications submitted.

B. **MARKING AND PUBLIC COMMUNICATIONS UNDER USAID-FUNDED ASSISTANCE (JUNE 2012)**

a. The USAID Identity is the official marking for USAID, comprised of the USAID logo and brandmark with the tagline "from the American people." The USAID Identity is on the USAID Web site at www.usaid.gov/branding. Recipients must use the USAID Identity, of a size and prominence equivalent to or greater than any other identity or logo displayed, to mark the following:

(1) Programs, projects, activities, public communications, and commodities partially or fully funded by USAID;

(2) Program, project, or activity sites funded by USAID, including visible infrastructure projects or other physical sites;

(3) Technical assistance, studies, reports, papers, publications, audio-visual productions, public service announcements, Web sites/Internet activities, promotional, informational, media, or communications products funded by USAID;

(4) Commodities, equipment, supplies, and other materials funded by USAID, including commodities or equipment provided under humanitarian assistance or disaster relief programs; and

(5) Events financed by USAID, such as training courses, conferences, seminars, exhibitions, fairs, workshops, press conferences and other public activities. If the USAID Identity cannot be displayed, the recipient is encouraged to otherwise acknowledge USAID and the support of the American people.

b. When this award contains an approved Marking Plan, the recipient must implement the requirements of this provision following the approved Marking Plan.

c. If a "Marking Plan" is not included in this award, the recipient must propose and submit a plan for approval within the time specified by the Agreement Officer (AO).

d. The AO may require a preproduction review of program materials and "public communications" (documents and messages intended for external distribution, including but not limited to correspondence; publications; studies; reports; audio visual productions; applications; forms; press; and promotional materials) used in connection with USAID-funded programs, projects or activities, for compliance with an approved Marking Plan.

e. The recipient is encouraged to give public notice of the receipt of this award and announce progress and accomplishments. The recipient must provide copies of notices or announcements to the Agreement Officer's Representative (AOR) and to USAID's Office of Legislative and Public Affairs in advance of release, as practicable. Press releases or other public notices must include a statement substantially as follows:

"The U.S. Agency for International Development administers the U.S. foreign assistance program providing economic and humanitarian assistance in more than 80 countries worldwide.

      f.   Any "public communication" in which the content has not been approved by USAID must contain the following disclaimer:

"This study/report/audio/visual/other information/media product (specify) is made possible by the generous support of the American people through the United States Agency for International Development (USAID). The contents are the responsibility of [insert recipient name] and do not necessarily reflect the views of USAID or the United States Government."

      g.   The recipient must provide the USAID AOR, with two copies of all program and communications materials produced under this award.

      h.   The recipient may request an exception from USAID marking requirements when USAID marking requirements would:

      (1)   Compromise the intrinsic independence or neutrality of a program or materials

where independence or neutrality is an inherent aspect of the program and materials;

      (2)   Diminish the credibility of audits, reports, analyses, studies, or policy recommendations whose data or findings must be seen as independent;

      (3)   Undercut host-country government "ownership" of constitutions, laws, regulations, policies, studies, assessments, reports, publications, surveys or audits, public service announcements, or other communications;

      (4)   Impair the functionality of an item;

      (5)   Incur substantial costs or be impractical;

      (6)   Offend local cultural or social norms, or be considered inappropriate; or

      (7)   Conflict with international law.

      i.   The recipient may submit a waiver request of the marking requirements of this provision or the Marking Plan, through the AOR, when USAID-required marking would pose compelling political, safety, or security concerns, or have an adverse impact in the cooperating country.

      (1)   Approved waivers "flow down" to subagreements, including subawards and contracts, unless specified otherwise. The waiver may also include the removal of USAID markings already affixed, if circumstances warrant.

      (2)   USAID determinations regarding waiver requests are subject to appeal by the recipient, by submitting a written request to reconsider the determination to the cognizant Assistant Administrator.

      j.   The recipient must include the following marking provision in any subagreements entered into under this award:

"As a condition of receipt of this subaward, marking with the USAID Identity of a size and prominence equivalent to or greater than the recipient's, subrecipient's, other donor's, or third party's is required. In the event the recipient chooses not to require marking with its own identity or logo by the subrecipient, USAID may, at its discretion, require marking by the subrecipient with the USAID Identity."

ATTACHMENTS AND DOCUMENTS

The following attachments are provided:

    Attachment I   -   Budget format

    Attachment II   -   Initial Environmental Examination (IEE)

The following documents can be accessed as indicated:

    Certifications, Assurances and Other Statements
    http://transition.usaid.gov/policy/ads/300/303mav.pdf

    SF-424 Forms –
    http://www.grants.gov/agencies/aapproved_standard_forms.jsp

    UGM evaluation (posted on USAID website) -
    https://dec.usaid.gov/dec/home/default.aspx